

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE  
(MODIFIED) PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.  
53168-500301D6

SERIAL NO.  
Not yet known

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT  
(Use several sheets if necessary)

APPLICANT  
Shrenik Deliwala

FILING DATE  
February 20, 2002

GROUP  
Not yet known

(37 C.F.R. § 1.98(b))

JCS26 U.S. PTO  
10/079668  
02/20/02

### U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER							ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
mc	A	6	1	7	7	6	8	5	01/01	Teraguchi et al.	257	20	
mc	B	6	1	8	8	8	1	8	02/01	Han et al.	385	24	
mc	C	6	1	6	6	8	4	6	12/00	Maloney	359	247	
mc	D	6	0	7	5	9	0	8	06/00	Paniccia et al.	385	14	
mc	E	6	1	2	2	4	1	9	09/00	Kurokawa	385	31	
mc	F	5	8	6	4	6	4	2	01/99	Chun et al.	385	14	
mc	G	5	8	7	2	3	6	0	02/99	Paniccia et al.	250	341.4	
mc	H	5	8	3	5	6	4	6	11/98	Yashimura et al.	385	14	
mc	I	5	6	9	6	8	6	2	12/97	Hauer et al.	385	88	
mc	J	4	6	7	7	7	8	3	07/87	Cratsa	43	15	
mc	K	5	6	3	8	4	6	9	06/97	Feldman et al.	385	14	

### FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

DOCUMENT NUMBER									PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
													YES	NO

### OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

mc	L	Michael C. Parker et al., Applications of Active Arrayed-Waveguide Gratings in Dynamic WDM Networking and Routing, Journal of Lighwave Technology, Vol. 18, No. 12, December 2000.
mc	M	Bardia Pezeshki et al., Vertical Cavity Devices as Wavelength Selective Waveguides, Journal of Lightwave Technology, Vol. 12, No. 10, October 1994.
mc	N	Lucent Technologies, Bell Labs Innovations, Arrayed Waveguide Grating Multiplexer/Demultiplexer, January 2000.
mc	O	Robert Shi and Tomasz Jansson, Optical Interconnection Foundations and Applications, Chapter 5, Integrated Optical Waveguide Routing - Micro-optics, Artech House, pp. 141-225.
mc	P	Amalia N. Miliou et al., A 1.3 $\mu$ m Directional Coupler Polarization Splitter by Ion Exchange, Journal of Lightwave Technology, Vol. 11, No. 2, February 1993.
mc	Q	Gijs J. M. Krijnen et al., A New Method for the Calculation of Propagation constants and Field Profiles of Guided Modes of Nonlinear Channel Waveguides Based on the Effective Index Method, Journal of Lightwave Technology, Vol. 12, No. 9, September 1994.

EXAMINER

*Michelle R. Connelly - Cushman*

DATE CONSIDERED

*11/18/02*

EXAMINER: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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mc	R	5	6	2	9	8	3	8	05/97	Knight et al.	361	782	
mc	S	5	6	2	5	7	2	9	04/97	Brown	385	31	
mc	T	5	6	2	5	6	3	6	04/97	Bryan et al.	372	50	
mc	U	5	6	0	5	8	5	6	02/97	Goosen et al.	438	24	
mc	V	5	5	6	8	5	7	4	10/96	Tanguay, Jr. et al.	385	14	
mc	W	5	5	0	2	7	7	9	03/96	Magel	385	1	
mc	X	5	4	8	5	0	2	1	01/96	Abe	257	84	
mc	Y	5	4	3	4	4	3	4	07/95	Kasahara et al.	257	84	
mc	Z	5	4	3	2	6	3	0	07/95	Lebby et al.	359	152	
mc	AA	5	4	0	0	4	1	9	03/95	Heinen	385	14	
mc	BB	5	1	9	8	6	8	4	03/93	Sudo	257	79	

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*Mitchell R. Connelly - Cushman*

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EXAMINE R INITIAL		PATENT NUMBER							ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
mc	CC	5	1	5	9	7	0	0	10/92	Reid, deceased et al.	385	14	
mc	DD	5	1	5	3	7	7	0	10/92	Harris	359	245	
mc	EE	5	0	6	1	0	2	7	10/91	Richard	385	14	
mc	FF	4	9	6	6	4	3	0	10/90	Weidel	385	14	
mc	GG	4	9	3	9	7	9	3	07/90	Stewart	359	170	
mc	HH	4	9	1	7	4	5	0	04/90	Pocholle	385	10	
mc	II	4	8	7	1	2	2	4	10/89	Karstensen	385	14	
mc	JJ	4	8	6	5	4	2	7	09/89	Kingston et al.	359	274	
mc	KK	4	7	6	1	6	2	0	08/88	Bar-Joseph et al.	359	263	
mc	LL	4	7	5	8	0	9	2	07/88	Heinrich et al.	354	364	
mc	MM	4	6	9	5	1	2	0	09/87	Holder	385	14	

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EXAMINER

*Michael R. Connelly-Cushwa*

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mc	NN	4	4	2	2	0	8	8		12/83	Gfeller	385	37	

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EXAMINER

*Michelle R. Connelly-Cushwa*

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*11/18/02*

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Substitute for form 1449A/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	Not yet Known
		Filing Date	February 20, 2002
		First Named Inventor	Shrenik Deliwala
		Art Unit	Not yet Known
		Examiner Name	Not yet Known
Sheet 1 of 1	Attorney Docket Number	53168-500301D6	

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
MC	00	US-2001/0031112 A1	10-18-2001	Irish et al.	
MC	PP	US-2001/0031113 A1	10-18-2001	Irish et al.	
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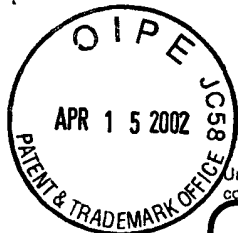
FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				

Examiner Signature	Michelle R. Connelly-Cushwa	Date Considered	11/18/02
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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PTO/SB/08A (10-01)

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Sheet

/

of

2

**Complete if Known**

Application Number	10/079,668
Filing Date	02/20/2002
First Named Inventor	Deliwala
Art Unit	
Examiner Name	Not yet known
Attorney Docket Number	53168-500301D6

**U.S. PATENT DOCUMENTS**

Examiner Initials <sup>*</sup>	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
mc	A	US-5,880,491		03-09-1999	Soref et al.	
mc	B	US-4,728,167		03-01-1988	Soref et al.	
mc	C	US-6,236,778 B1		05-22-2001	Laughlin	
mc	D	US-5,875,271		02-23-1999	Laughlin	
mc	E	US-4,857,973		08-15-1989	Yang et al.	
mc	F	US-5,841,916		11-24-1998	Laughlin	
mc	G	US-4,746,183		05-24-1988	Soref et al.	
mc	H	US-4,877,299		10-31-1989	Lorenza et al.	
mc	I	US-6,114,994		09-05-2000	Soref et al.	
mc	J	US-4,693,547		09-15-1987	Soref et al.	
mc	K	US-6,111,633		08-29-2000	Albut et al.	
mc	L	US-5,004,447		04-02-1991	Soref	
mc	M	US-4,787,691		11-29-1988	Lorenza et al.	
mc	N	US-5,354,789		10-11-1994	Lorenza et al.	
mc	O	US-5,260,592		11-09-1993	Mead et al.	
mc	P	US-5,682,455		10-28-1997	Kovacic et al.	
mc	Q	US-5,140,651		08-18-1992	Soref et al.	
mc	R	US-6,163,632		12-19-2000	Rickmen et al.	
mc	S	US-6,233,070 B1		05-15-2001	Lu et al.	
mc	T	US-5,908,305		06-01-1999	Crampton et al.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials <sup>*</sup>	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
mc	U	WO	99/09514 - A1	02-25-1999	Advanced Precision		
mc	V	WO	01/20372 - A2	03-22-2001	Corning Incorporated		
mc	W	WO	01/56119 - A2	08-02-2001	Lambda Physik		
mc	X	WO	01/01530 - A1	01-04-2001	Lambda Physik		
mc	Y	WO	00/73822 - A2	12-07-2000	Thomas & Betts		
mc	Z	WO	00/58776 - A1	10-05-2000	Bookham Tech.		
mc	AA	WO	00/49451 - A1	08-24-2000	Bookham Tech.		
mc	BB	WO	99/34485 - A1	07-08-1999	Bookham Tech.		
mc	CC	WO	01/58166 - A1	07-12-2001	Bookham Tech.		
mc	DD	WO	98/35253 - A1	08-13-1998	Bookham Tech.		

Examiner  
Signature

Michelle R. Connelly-Cuthbert

Date

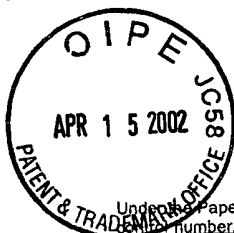
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)		<b>Complete if Known</b>	
		Application Number	10/079,668
		Filing Date	02/20/2002
		First Named Inventor	Doliwala
		Art Unit	
		Examiner Name	Not yet known
Sheet 2 of 2	Attorney Docket Number	53168-50030106	

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mc	EE	US-5,757,986	05-26-1998	Crompton et al.	
mc	FF	US-6,002,515	12-14-1999	Mizuchi et al.	
mc	GG	US-5,894,492	04-13-1999	Welch et al.	
mc	HH	US-6,088,496	07-11-2000	Asghari	
mc	II	US-5,719,981	02-17-1998	Katoh et al.	
mc	JJ	US-5,761,364	06-02-1998	Knapp et al.	
mc	KK	US-5,444,567	08-22-1995	Kathaka	
mc	LL	US-6,021,248	02-01-2000	Cornish et al.	
mc	MM	US-5,926,601	07-20-1999	Tai et al.	
mc	NN	US-6,222,689B1	04-24-2001	Higuchi et al.	
mc	OO	US-5,577,141	11-19-1996	Adar et al.	
mc	PP	US-5,513,284	04-30-1996	Hosokawa et al.	
mc	QQ	US-6,262,357B1	08-26-2001	Kadota et al.	
mc	RR	US-6,017,681	01-25-2000	Tsukamoto et al.	
mc	SS	US-6,259,841B1	07-10-2001	Bhagavatula	
mc	TT	US-6,289,699B1	09-18-2001	Keditsch et al.	
		US-			
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mc	UU	WO - 00/10039 - A1	02-24-2000	Bookham Tech.	
mc	VV	WO - 01/24598 - A1	04-26-2001	Bookham Tech.	
mc	WW	WO - 00/25156 - A1	05-04-2000	Bookham Tech.	
mc	XX	WO - 01/06212 - A1	01-25-2001	Bookham Tech.	
mc	YY	WO - 01/67172 - A1	09-13-2001	Bookham Tech.	

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